



09-18-00

PTO/SB/05 (4/88)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. Y0R9-2000-0144US1 (8728-375)

First Inventor or Application Identifier CHEN

Title SYSTEM AND METHOD FOR MANAGING A

Express Mail Label No. EL599449326US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2. Specification (Total Pages 38)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. Drawing(s) (35 U.S.C. 113) (Total Sheets 4)

4. Oath or Declaration (Total Pages 2)

- a. Newly executed (original or copy)
- b. Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

***NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).**

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

5. Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. Computer Readable Copy
- b. Paper Copy (identical to computer copy)
- c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. Assignment Papers (cover sheet & document(s))

8. 37 C.F.R. § 3.73(b) Statement (when there is an assignee) Power of Attorney

9. English Translation Document (if applicable)

10. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations

11. Preliminary Amendment

12. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

- Small Entity Statement(s) Statement filed in prior application.
(PTO/SB/09-12) Status still proper and desired

13. Certified Copy of Priority Document(s)
(if foreign priority is claimed)

14. Other: _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

 Continuation Divisional Continuation-In-part (CIP)

of prior application No: _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			<input type="checkbox"/> or <input type="checkbox"/> Correspondence address below
Name	Frank V. DeRosa			
Address	F. Chau & Associates, LLP 1900 Hempstead Turnpike, Suite 501			
City	East Meadow	State	New York	Zip Code
Country	USA	Telephone	516-357-0091	Fax 516-357-0092

Name (Print/Type) Frank V. DeRosa

Registration No. (Attorney/Agent)

43,584

Signature

Date 9/15/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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FEE TRANSMITTAL

for FY 2000

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 748.00)

Complete if Known

Application Number	
Filing Date	September 15, 2000
First Named Inventor	Julian C. Chen
Examiner Name	
Group / Art Unit	
Attorney Docket No.	Y0R9-2000-0144US1 (8728-375)

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0510/IBM

Deposit Account Name IBM/Yorktown Heights

 Charge Any Additional Fee Required
Under 37 CFR §§ 1.16 and 1.17

2. Payment Enclosed:
 Check Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	690	201 345 Utility filing fee	690
106	310	206 155 Design filing fee	
107	480	207 240 Plant filing fee	
108	690	208 345 Reissue filing fee	
114	150	214 75 Provisional filing fee	

SUBTOTAL (1) (\$ 690.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
21	-20**	= 1	18 = 18
Independent Claims	3	3**	= 0
Multiple Dependent			260 =

** or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
103	18	203 9 Claims in excess of 20	
102	78	202 39 Independent claims in excess of 3	
104	260	204 130 Multiple dependent claim, if not paid	
109	78	209 39 ** Reissue independent claims over original patent	
110	18	210 9 ** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 18.00)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet.	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	380	216 190 Extension for reply within second month	
117	870	217 435 Extension for reply within third month	
118	1,360	218 680 Extension for reply within fourth month	
128	1,850	228 925 Extension for reply within fifth month	
119	300	219 150 Notice of Appeal	
120	300	220 150 Filing a brief in support of an appeal	
121	260	221 130 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,210	241 605 Petition to revive - unintentional	
142	1,210	242 605 Utility issue fee (or reissue)	
143	430	243 215 Design issue fee	
144	580	244 290 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Petitions related to provisional applications	
126	240	126 240 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	690	246 345 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	690	249 345 For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) _____

Other fee (specify) _____

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

Complete (if applicable)

SUBMITTED BY	Frank V. DeRosa	Registration No. (Attorney/Agent)	43,584	Telephone	(516) 357-0091
Signature				Date	9/15/00

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Assistant Commissioner for Patents
Washington, D.C. 20231

ATTORNEY DOCKET: Y0R9-2000-0144US1 (8728-375)
Date: September 15, 2000
Express Mail Label: EL599449326US
Date of Deposit: September 15, 2000

Transmitted herewith for filing is the Patent Application of:

Inventors: Julian C. Chen, Dimitri Kanevsky, Wlodek W. Zadrozny

For: SYSTEM AND METHOD FOR MANAGING A TEXTUAL ARCHIVE USING SEMANTIC UNITS

Enclosed are: 32 sheets of specification; 1 sheet(s) of Abstract; 5 sheet(s) of claims; 4 sheet(s) of drawing(s);

An assignment of the invention to International Business Machines Corporation with Recordation Form.

Declaration and Power of Attorney.

A certified copy of a _____ application, from which priority under Title 35 USC §119 is claimed.

Associate Power of Attorney.

The filing fee has been calculated as shown below:

	(Col. 1)	(Col. 2)
FOR:	NO. FILED	NO. EXTRA
<u>BASIC FEE</u>		
<u>TOTAL CLAIMS</u>	<u>21 - 20 =</u>	<u>1</u>
<u>INDEP CLAIMS</u>	<u>3 - 3 =</u>	<u>0</u>
<u>MULTIPLE DEPENDENT CLAIMS PRESENTED</u>		

OTHER THAN A
SMALL ENTITY

RATE	FEE
	\$690.00
X \$18 =	18.00
X \$78 =	0
+ 260 =	
TOTAL	\$ 708.00

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

A check in the amount of \$ _____ to cover the filing fee(s), recording fee is enclosed.

Please charge my Deposit Account No. 50-0510/IBM (Yorktown Heights) in the amount of \$708.00.

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.

Any additional filing fees required under 37 CFR 1.16.

Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:


Frank V. DeRosa
Registration No. 43,584

Attorney for:

IBM Corporation
Intellectual Property Law Dept.
P.O. Box 218
Yorktown Heights, NY 10598

Please address all correspondence to:

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1900 Hempstead Tpke., Suite 501
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Fax: (516) 357-0092

CERTIFICATION UNDER 37 C.F.R. §1.10

I hereby certify that this Application transmittal and documents referred to as enclosed are being deposited with the United States Postal Service on this date September 15, 2000 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL599449326US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.


Frank V. DeRosa